Declassified and Approved For Release 2012/11/26: CIA-RDP90M00005R000200010041

United States Senate

WASHINGTON, D.C. 20510

April 19, 1988

Mr. William F. Donnelly Deputy Director for Administration Central Intelligence Agency

Dear Mr. Donnelly:

Washington, D.C. 20505

Since 1984, the General Accounting Office, at the request of the Committees on Government Operations and Post Office and Civil Service, has conducted several surveys of the government's information and personnel security programs. Their last survey covered calendar years 1984 and 1985. We have requested the General Accounting Office to obtain updated and additional information relative to calendar years 1986 and 1987. We would appreciate your response to the enclosed questionnaire by May 16, 1988.

Thank you very much for your prompt attention to this

request.

mmittee on

Government Operations

incerely,

William D. Ford

Chairman

Committee on Post Office

and Civil Service

Chairman

Subcommittee on Federal Services,

Post Office and

Civil Service

REQUEST FOR INFORMATION RELATIVE TO INFORMATION AND PERSONNEL SECURITY

Introduction:

Throughout this questionnaire, we are talking about the number of people; for that reason, the number of positions should not be converted to full-time equivalents.

When an estimate is given for any answer, please precede the estimated number with the letter "E".

Unless otherwise specified, the requested information should be as of December 31, 1986, and December 31, 1987.

Please be specific when indicating whether an answer is classified.

If your agency participates in the Defense Industrial Security Program (DISP), you need not provide data on those contractor employees covered by the program, because such data will be obtained directly from the Department of Defense. If you also have contractor employees not covered by the DISP, please provide the requested data for them.

If any information will not be obtainable within the specified timeframe, please send that information which is available and indicate a date by which we may expect the remainder.

If you have any questions, please call Mr. Don Lentz 275-4052 or Mr. Irv Boker, 275-3973. Please return the completed questionnaire by May 16, 1988, to:

Mr. Irv Boker, Room 4100 U.S. General Accounting Office Washington, D.C. 20548

QUESTIONNAIRE

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	Approximately how many people were employed by your agency as of December 31, 1986, and December 31, 1987? (The total should include both full— and part-time employees If the exact number is not available, please give your agency's best estimate, and indicate such by preceding the number with the letter "E").
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	1986	1987
Employees		

SECURITY CLEARANCES

2. As of December 31, 1986, and December 31, 1987, approximately how many of your employees and how many employees of your contractors were cleared for access to classified information? Please count the individuals based on their highest level of clearance. (If the exact number is not known, please give your agency's best estimate. Do not include contractor employees who were granted clearances by the Defense Investigative Service. Enter the number on each line. If none, enter "0").

	19	86	1987		
Highest Level of Clearance	Agency Employees	Contractor Employees	Agency Employees	Contractor Employees	
TOP SECRET				·	
SECRET					
CONFIDENTIAL					

3. How many SCI and non-SCI special access programs did your agency have at the close of calendar years 1986 and 1987? How many billets were authorized for these programs and how many agency and contractor employees were granted special access authorizations for them for each of those years? (If the exact number is not available, please give your agency's best estimate, and indicate such by preceding the number with the letter "E").

	SCI 19	Non-SCI	198 SCI	7 Non-SCI
Programs				
Billets				
Agency employees	-			
Contractor employees				

	How many personnel security clearances, SCI accesses, and program (SAP) accesses did you grant (or were granted) to of your contractors during calendar years 1986 and 1987? available, please give your agency's best estimate and incommender with the letter "E". Do not include clearances graby the Defense Investigative Service.)	your employees and employees (If the exact number is not
--	--	--

	198	36	1987		
-	Agency	Contractor	Agency	Contractor	
TOP SECRET					
SECRET				-	
CONFIDENTIAL					
TOTAL					
SCI Access	·	· .			
Non-SCI Special Access Program					

5. How many requests for security clearances and SCI and non-SCI SAP accesses were in process (incomplete National Agency Checks, Background Investigations, adjudications, etc.) at the end of calendar years 1986 and 1987? (If the exact number is not available, please give your agency's best estimate, and indicate such by preceding the number with the letter "E").

Level of Request for Clearance and Access in Process	Agency 19	OB6 Contractor	Agency 19	87 Contractor
TOP SECRET				_
SECRET				
CONFIDENTIAL				
TOTAL				
SCI Access				
Non-SCI SAP Access				

6. What was the average time (in calendar days) required for you or another agency to complete the investigative work incident to the granting of a top secret and secret security clearance and SCI and non-SCI SAP access during calendar years 1986 and 1987? (Do not include the time involved in the preparation and internal processing of the personnel security questionnaire and in the subsequent adjudicative process. Include, if appropriate, the average time taken by the Defense Investigative Service to process your requests for clearances for contractor employees.)

Level of		<u> </u>	19	1987	
Clearance	Agency	Contractor	Agency	Contractor	
TOP SECRET					
SECRET					
CONF IDENTIAL					
					
SCI Access	-			·	
Non-SCI SAP Access					

7. How many requests for your employees and employees of your contractors for security clearances and SCI and non-SCI SAP access were denied during calendar years 1986 and 1987? How many clearances and SCI and non-SCI accesses were revoked for reasons of risk or potential risk to national security or administratively because of insufficient need? Identify, by placing in brackets, those requests for clearances or revocations for contractor employees administered by the Defense Investigative Service. (If the exact number is not available, please give your agency's best estimate, and indicate such by preceding the number with the letter "E").

. · · · · · · · · · · · · · · · · · · ·	Level of Clearance and Access						
<u>Agency</u> 1986	Top Secret	Secret	Confi- dential	SCI access	Non-SCI SAP access	Total	
Number of Denials							
Revocations-Because of: Risk or Potential Risk							
Administrative-No Further Need						-	
Total Number of Revocations				•		,	
1987							
Number of Denials							
Revocations-Because of: Risk or Potential Risk			-				
Administrative-No Further Need							
Total Number of Revocations							

Contractor 1986	Top Secret	Secret	Confi- dential	SCI access	Non-SCI SAP access	Total
Number of Denials		-				
Revocations-Because of: Risk or						
Potential Risk						
Administrative-No Further Need	***					
Total Number of Revocations						
1987 Number of Denials	-					
Revocations-Because of: Risk or Potential Risk						
Administrative-No Further Need						
Total Number of Revocations						

8. Please provide copies of your agency's policies and procedures governing the periodic reinvestigation of individuals after the initial granting of clearances and SCI access. How many completed reinvestigations of any type did your agency conduct or have conducted for it during calendar years 1986 and 1987? What was the average time (in calendar days) required for completion of the reinvestigation? (If the exact number is not available, please give your agency's best estimate, and indicate such by preceding the number with the letter "E").

1986	Top Secret	Level of Secret	Clearance Confi- dential	and Access SCI access	Non-SCI SAP access	Total
Number of completed Reinvestigations:						
Agency		-			<u>.</u> .	
Contractor						-
Average Time — Required:	<u>, </u>					
Agency						
Contractor	-					
					·	

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	_			ance and A	CCESS	· —
	Top	_	Confi-	SCI	Non-SCI	
1707	Secret	Secret	dential	access	SAP access	Tota
Number of completed						
Reinvestigations:						
3						
Agency					-	
· ·					•	
Contractor					Mps 1 -	
-					-	
Average Time						
Required:						
		•				
Agency _						
<u>-</u>						
Contractor						
	-	•				
learance investigation neluding inhouse costs						
Tachtill Bhecill	L COSES	it maggini	A (1.A ad		e costs, Defen	se Inv
igative Service vs. Of	rice of]	rersonnel	Management	, etc.).		
Inhouse costs			1006			
-Lindebe Coata			<u> 1986</u>		<u>1987</u>	
			•			
						
				·		
		Marine .				
Total	•					
	-		-			
elmburgement to other					-	
and a company of the second	agencies	-			•	
e-industrial to other a	agencies	-				
	agencies	-		•		
		-	-	•		
	gencies	_			- -	
	gencies	_				
	gencies	-			-	
	gencies	-		_ · _		
Total	sgencies					
Total						
Total						
Total						
Total						
Total						
Total						
Total						
Total		8				
Total Contracted investigative		8				
Total Total Total						

CLASSIFICATION	MARIAGEDERIT
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	Level of Information Classified		Agency Classi			
٠	- -		Derivative Authority	Original	87 Derivative Authority	
	TOP SECRET and below					
	SECRET and below					
1.	Does your agency req training for classif certification and sy	TETRI II AU	II ANGWAT VAA	#10000 ===		ency require ements of th
	Certification		Training	Required		
	of Classifiers		for Class	ifiers		
	yes			_ yes		
	yes			yes no		
2.	•	classificat 986, and Dec	ion guides? ember 31, 198	no	er yes, how man	y were issued
2.	no Does your agency use	classificat 986, and Dec	Number	no	ication	y were issued

ACCESS BY HISTORIANS AND FORMER PRESIDENTIAL APPOINTERS

13. Section 4.3 of Executive Order 12356 authorizes access to classified information by historical researchers and former presidential appointees. Please provide the following information on the number of individuals given such access.

1986	Historical Researchers	Former Presidential Appointees
Number of individuals granted access during calendar year 1986		
Number of individuals denied access during calendar year 1986		
Number of individuals with access as of December 31, 1986		
1987	Historical Researchers	Former Presidential Appointees
Number of individuals granted access during calendar year 1987		Presidential
Number of individuals granted		Presidential

14. Please provide a copy of your agency's procedures governing section 4.3 of the executive order. If your procedures do not include a provision for this section of the order, please identify the position of the individual authorized to grant access to historical researchers and former presidential appointees.

BONDISCLOSURE AGREEMENTS

15. As of December 31, 1986, and December 31, 1987, how many employees of your agency and employees of your contractors had signed a Standard Form (SF) 189, SF 189-A, Form 4193, DD Form 1847-1 (for SCI access), or other nondisclosure agreement? (Please attach copies of agreements other than SF 189, SF 189-A, Form 4193 and DD Form 1847-

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	1986	Agency Employees	Contractor Employees	• -
	SF 189			
	SF 189-A			
	Form 4193			
	DD Form 1847-1	-		
	(other)		-	
	(other)			
	1987	Agency Employees	Contractor Employees	
	SF 189			
50 m	SF 189-A			
•	Form 4193			
	DD Form 1847-1			
	(other)			
	(other)			
16.	Has your agency issu	ed written procedures f	or use of the SF 189 and	189-A?
	Yes	No		
	If you answered "yes	, please provide a cop	y of the procedures.	
17.	already had access t for obtaining a sign	o classified information ed SF 189 or SF 189-A from prior to the December) instructions on the use ag implementation for ind a. What date or dates di com every individual gran c 29, 1987, letter from I	ividuals who d you establish
		SF 189	SF 189-A	
	None			
	Date			

17.

Did you require all o either an SF 189 or S	r your emplo F 189-A?	oyees and a	ill of your o	ontractor	s' emplo	yees—to
		Yes				-
		No				
If you answered "no",	which emplo	yees were	not required	to sign	an SF 18	or SF
,						
			T			
What means of enforcer on SF 189 or SF 189-A						
		·		•. • •	· · · · · · · · · · · · · · · · · · ·	
Then do you require in mployees who already greements (SF 189, SF he appropriate line o	189-A. For	TO Clapsi	• • • • • • • • • • • • • • • • • • •	_ 9		
greements (SF 189, SF	189-A. For	TO Clapsi	• • • • • • • • • • • • • • • • • • •	_ 9		
greements (SF 189, SF he appropriate line o	189-A, For	m 4193, DD	fied informat Form 1847-1	tion—to s , and othe DD Form	ign the ers)? (P	
greements (SF 189, SF he appropriate line of the complete services of t	189-A, For	m 4193, DD	fied informat Form 1847-1	tion—to s , and othe DD Form	ign the ers)? (P	
greements (SF 189, SF he appropriate line of the appropriate line of the appropriate line appropriate line of the appropriate line of the appropriate line appr	189-A, For	m 4193, DD	fied informat Form 1847-1	tion—to s , and othe DD Form	ign the ers)? (P	
greements (SF 189, SF he appropriate line of the employees hen hired hen a clearance is equested hen a clearance is	189-A, For	m 4193, DD	fied informat Form 1847-1	tion—to s , and othe DD Form	ign the ers)? (P	

on attachment)

Mewly cleared employees	SF 189	SF 189-A	Form 4193	DD Form 1847-1	Other
After a security briefing					
Before access to classified data	-			,	
Other (please explain on attachment)		 		Townson Townso	
Employees already having access	SF 189	SF 189-A	Form 4193	DD Form 1847-1	Other
All employees have signed agreements			-		
After a security briefing					
Before access to classified data				• •	
Other (please explain on (attachment)			•		
How many employees of your 189-A, Form 4193, DD Form 1987?	agency 1847-1,	and contrac or other no	tors had ref ndisclosure	used to s agreement	ign the SF 189 S as of December

21. 31,

	Agency Employees	Contractor Employees
SF 189		
SF 189-A		•
Form 4193		
DD Form 1847-1		
Other		

What action has been taken with respect to those individuals who refused to sign the SF 189, SF 189-A, Form 4193, DD Form 1847-1, or other nondisclosure agreement? Please indicate the number of employees involved and indicate the action or actions taken. For example, if any employee's security clearance was suspended and the individual was also reassigned to another position, the individual would be included in two of the categories described below.

	Agency Employees	Contractor	
Security clearance suspended			
Security clearance revoked			
No action taken on clearance			
Individual reassigned to another position or duties with:	•		
No reduction in salary		·	
Reduction in salary			
Individual resigned		e v <u>e</u>	
Individual's employment terminated			
Case still under consideration			
Other administrative sanctions (please describe below)		-
How many SF 189, SF 189-A, Form 419: ments were signed by employees of your December 22, 1987 (date of enactment 1988?	of on the use	ontractors during the periods of nondisclosure) through Mar	
December 22, 1987 - March 31, 1988	Agency Employees	Contractor Employees	·
SF 189			
SF 189-A			
Form 4193			
DD Form 1847-1			
			-
(Other)			
(Other)			
Total			

23.

24.	Are any of your agency's employees required to submit to any pre-publication review procedure (other than to review official statements on behalf of the agency)?								
	Yes								
	No (Please skip to Q	vooti on	20 \ ·						
25.									
	Approximately how many books, a were reviewed during your agency Question 24) for calendar years pre-publication review. If the estimate (required by regulation on each line. (If none, enter	1986 and number :	publication i 1987? If	review pro possible,	cess (descr identify th	ibed in e reason for			
	Reason for Pre-Publication								
1.4	Review		Type of M	aterial	Other	<u></u>			
	1986	Books	Articles	Speeches	(Please Specify)				
	Regulation								
	SCI Agreement								
	Non-SCI SAP Agreement								
	Other (please specify)								
	1987								
	Regulation								
~	SCI Agreement				-				
	Non-SCI SAP Agreement								
	Other (please specify)	<i>*</i>							
26.	Please estimate the average numb receipt of a request for pre-pub date the requestor is informed o in reviewing a type of document, average number of working days o Estimated Average Working Day	f the fi enter " n each 1	review of nal results NA" on the	each type o	f document	below, to the			
	•								
	Books	_	Ar	ticles					

	and working days were used for pre-	1986	1987	
	employees assigned			
	Estimated number of working days used	· —	,	
28.	During calendar years 1986 and 1987, disclosures of classified information	did your agenc	y experience any unautho	orized
		1986	1987	
	Yes			-
	No (Please skip to Question 32)			
29.	For calendar years 1986 and 1987, pl disclosures, the number of unauthori speeches, written or given by then-c not reported to the Department of Ju previously signed a nondisclosure ag	urrent and form	made through books, art	icles,
		1986	1987	
	Total number of known unauthorized disclosures			
	Number not reported to Department of Justice			
	Number made through published writing or speeches by:	-		
	Former employees	·	•	
-	Number made by individuals who had previously signed a nondisclosure agreement			
10.	How many unauthorized disclosures wer another agency for investigation duri	e investigated ng calendar yea	by your agency or reference 1986 and 1987?	red to
	Number of cases investigated by your agency	1986	1987	
	Number of cases referred to another agency for investigation, after your investigation was completed			
		14		

		1986		1987		
	Number of cases referred to	-		1907	•	
	another agency for investigation,	•				
•	that your agency did not investigate.					
			•			
31.	How many employees of your agency further access to classified info with the investigation of an unau was involved or for other reasons were subjected to other administr	rmation, becathorized dis	ause of th closure (b	eir unwilli	ngness to co	operat
		19		100	7	
	Employees denied further access	Polygraph	Other	198 Polygraph	Other	
	to classified information	Involved	Reasons	Involved	Reasons	-
	Agency					
	Contractor					
	Employees subjected to other administrative sanctions			· · · · · ·		-
	Agency					
	Contractor					
2.	Please indicate which of your age between your employees and media Also, explain or provide document assures that all employees with seprocedures.	representativ	res are for	r national	security rea	sons.
		-	• •		<u> </u>	mage
OLY	GRAPH ACTIVITY	· · · · · · · · · · · · · · · · · · ·				
		operators dur	ing calend	lar years 19	986 and 1987	? ·
	CRAPH ACTIVITY Did your agency employ polygraph of	operators dur	ing calend	•	986 and 1987	? .
	Did your agency employ polygraph o		ing calend	lar years 19	986 and 1987) •
			ing calend	•	986 and 1987	
	Did your agency employ polygraph o		ing calend	•	986 and 1987	?

1987

1986

Agency employees

Number of contracts

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35. Do you have plans to employ any additional polygraph operators or contract out for services? If so, why and how many?

Agency employees

Contractors

36. As of December 31, 1986 and December 31, 1987, how many polygraph machines, if any, did your agency possess? How many were procured during calendar years 1986 and 1987? Do you have plans to procure any additional polygraph machines, and if

Number of polygraph machines on hand at end of the year

37. Approximately how many polygraph tests were conducted of your employees or applicants for employment by, or for, your agency? Please list by the indicated categories for each of the listed calendar years. If they were conducted by another agency or contractor, so indicate. Identify how many tests resulted in security clearance action (denial, revocation, suspension, other) and explain.

Number of polygraph machines procured during the year

Plans to procure additional

yes (number of machines

polygraph machine

no

Reason for Polygraph Test		and and an		_	
	1986		19	1987	
Criminal or specific incident investigations	Number of Tests	Clearance Action	Number of Tests	Clearance Action	
Conducted by agency					
Conducted by other agencies or contractors (list)		-			
Pre-employment screening					
Conducted by agency					
Conducted by other agencies or contractors (list)			_		
Pre-access screening					
Conducted by agency					
Conducted by other agencies or contractors (list)	•				
Subsequent screening					
Conducted by agency					
Conducted by other agencies or contractors (list)		<u>.</u>	-		
Other (explain)					
Conducted by agency				- 1.	
Conducted by other agencies or contractors (list)			•		
Total (do not double count)	******************				
Summary					
Conducted by agency					
Conducted by other agencies or contractors (list)					
Total (should be the same number as in above "total"					

38.	1985. Also, this time. I available. be potential incident investigations.	indicate a clease desc ln particul y covered estigation.	iny plans to ribe the cha ar, describe	revise these ganges and attace which employe type of polygra	es. Highlig overning reg h copies of es, and indi	th examinations that any changes significant proposed these proposals, cate how many, wo on (specific and the projected	at
39.		e the qual	ifications r		ividuals emp	loyed as polygrap	h
39.	Please provide examiners by Please enter	e the qual your agenc	ifications r	equired of ind	mumb on a 5 A1		h į
	Please provide examiners by Please enter	e the qual your agenc	ifications r	equired of ind	mumb on a 5 A1		h
	Please provide examiners by Please enter contacted if	e the qual your agenc	ifications r	equired of ind	mumb on a 5 A1		h
	Please provide examiners by Please enter contacted if Agency:	e the qual your agenc	ifications r	equired of ind	mumb on a 5 A1		h
	Please provide examiners by Please enter contacted if Agency: Name:	e the qual your agenc	ifications r	equired of ind	mumb on a 5 A1		h
40.	Please providexaminers by Please enter contacted if Agency: Name: Title:	e the qual your agenc below the clarificat	ifications ry. name, title, ion or addit	equired of ind	mumb on a 5 A1		h

Mr. Irv Boker, Room 4100 U.S. General Accounting Office Washington, D.C. 20548